

# Technology Transfer: A Capitol Hill Perspective

John F. Kotek  
Legislative Fellow  
Office of Senator Jeff Bingaman (D-NM)

June 13, 2002

# Overview

- . A recent history of Technology Transfer legislation
  - . Bills
  - . Motivations
- . Findings of GAO reports on Technology Transfer in DOE
- . A look ahead . prospects for enacting S.517

# A Recent History of Technology Transfer Legislation

- . 1999 . National Laboratories Partnership Improvement Act (S. 1756) . passed by the Senate, but not acted on by the House
  - . Built on the Stevenson-Wydler Technology Innovation Act of 1980
  - . Intent was to increase the value, ease, and frequency of scientific and technical collaborations between federal laboratories and non-federal organizations
  - . Purpose was two-fold
    - . Economic development
    - . Keep labs on cutting-edge of technology

# A Recent History of Technology Transfer Legislation (cont.d)

- . 2001 . Defense Authorization Bill (H.R. 4205) . signed by the President
  - . Includes several provisions derived from the National Laboratories Partnership Improvement Act
  - . Authorized \$5M over two years for a pilot program allowing the NNSA labs to explore new ways to collaborate with industry and academia
  - . Designed to promote the development of technology .clusters. that will help the labs achieve their missions
  - . Also intended to cut CRADA .red tape.
  - . \$0 appropriated, although the FY 2001 appropriations bill directs NNSA .to fully utilize technology partnerships supportive of its missions, including. technology clusters around the laboratories.

# GAO Reports on Technology Transfer in DOE

- . FY 2001 Defense Authorization Act required that NNSA prepare a report on Technology Transfer activities, and that GAO provide an assessment of the NNSA report
- . The GAO report was issued in July 2001
- . The report identified three primary options for providing financial and management support for CRADAs:
  - . Continue to rely primarily on the labs to decide on level of participation in CRADAs
  - . Set aside a small portion of research funding specifically for initial support of CRADA.s
  - . Establish an advocate within NNSA responsible for facilitating funding of CRADA.s

# GAO Reports on Technology Transfer in DOE (cont.d)

- . Senator Bingaman requested an expanded GAO report to look at technology transfer at both the DOE and NNSA laboratories
- . Issued in April 2002
- . GAO found that the DOE and NNSA labs have substantially reduced their participation in CRADAs and technical assistance to small businesses
- . Instead, the labs have increased .work-for-others.-type arrangements
- . Lab managers cited the lack of dedicated funding for technology partnerships as the most important barrier

# GAO report on Technology Transfer in DOE

- From the 2002 report . DOE lab managers. ranking of key barriers to technology transfer

Barrier	Show-Stopper	Major Barrier	Moderate Barrier	Minor Barrier	No Barrier
Lack of dedicated DOE funding for CRADAs	3	3	2	3	1
Lack of dedicated DOE funding for technology transfer activities with small businesses	2	3	3	2	2
Uncertainty about the availability of DOE funding in subsequent fiscal years	1	4	3	2	2
Lack of a high-level, effective advocate for technology partnerships at DOE-HQ	0	7	3	0	2
Lack of DOE institutional commitment to technology partnerships as a way to accomplish agency missions	0	6	3	1	2
DOE.s requirement for advance payment by the non-federal partner	0	6	3	2	1
U.S. competitiveness requirements	0	5	2	4	1
U.S. Trade Representative review	0	2	2	5	3

# S.517 . Status and Prospects

- . 2002 . National Laboratories Partnership Improvement Act (S. 517) . was on the Senate calendar when.
  - . Includes essentially all of the provisions from S.1756 that were not included in the FY 2001 Defense Authorization Bill
    - . Requires DOE to name a Technology Transfer Coordinator and form a Technology Partnership Working Group
    - . Establishes a Technology Infrastructure Development to aid in the formation and growth of technology clusters to support DOE missions
    - . Requires each DOE lab to name a small business advocate
    - . Gives the Secretary of Energy .other transactions. authority
    - . Requires DOE to prepare a report on barriers to technology transfer and make recommendations regarding how to address these barriers



## Some Parting Thoughts.

- . Congress has a desire to see that innovative, unclassified technologies developed in DOE's labs are transferred to the private sector
- . Laboratory programs that encourage entrepreneurship among the lab staff and the local business community are very well received